

**WEST**

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**Search Results -**

Terms	Documents
L2 and ((705/38)!.CCLS. )	3

Database:

US Patents Full-Text Database  
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 Derwent World Patents Index  
 IBM Technical Disclosure Bulletins

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**Search History**
**DATE: Friday, March 14, 2003**   [Printable Copy](#)   [Create Case](#)
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result set

DB=USPT,PGPB,JPAB,EPAB,DWPI,TDBD; PLUR=YES; OP=OR.

<u>L9</u>	L2 and ((705/38)!.CCLS. )	3	<u>L9</u>
<u>L8</u>	L2 and ((705/35)!.CCLS. )	11	<u>L8</u>
<u>L7</u>	L2 and ((705/36 )!.CCLS. )	21	<u>L7</u>
<u>L6</u>	L2 and ((705/37 )!.CCLS. )	34	<u>L6</u>
<u>L5</u>	L4 and ((705/37 )!.CCLS. )	0	<u>L5</u>
<u>L4</u>	(portfolio or securities or stock) and order near2 preference.ti.ab.	36	<u>L4</u>
<u>L3</u>	portfolio or securities or stock and order near2 preference.ti.ab.	164498	<u>L3</u>
<u>L2</u>	L1 and order near2 preference	390	<u>L2</u>
<u>L1</u>	portfolio or securities or stock.ti.ab.	189056	<u>L1</u>

END OF SEARCH HISTORY

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Generate Collection

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**Search Results - Record(s) 1 through 3 of 3 returned.**☐ 1. Document ID: US 20020099651 A1

L9: Entry 1 of 3

File: PGPB

Jul 25, 2002

PGPUB-DOCUMENT-NUMBER: 20020099651  
PGPUB-FILING-TYPE: new  
DOCUMENT-IDENTIFIER: US 20020099651 A1

TITLE: Systems, methods and computer program products for monitoring credit risks in electronic trading systems

PUBLICATION-DATE: July 25, 2002

## INVENTOR-INFORMATION:

NAME	CITY	STATE	COUNTRY	RULE-47
May, R. Raymond	Mathews	NC	US	

US-CL-CURRENT: 705/38; 705/37

Full	Title	Citation	Front	Review	Classification	Date	Reference	Sequences	Attachments	Claims	KWIC	Draw Desc	Image
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☐ 2. Document ID: US 20010039525 A1

L9: Entry 2 of 3

File: PGPB

Nov 8, 2001

PGPUB-DOCUMENT-NUMBER: 20010039525  
PGPUB-FILING-TYPE: new  
DOCUMENT-IDENTIFIER: US 20010039525 A1

TITLE: Methods and systems for finding value and reducing risk

PUBLICATION-DATE: November 8, 2001

## INVENTOR-INFORMATION:

NAME	CITY	STATE	COUNTRY	RULE-47
Messmer, Richard Paul	Rexford	NY	US	
Johnson, Christopher Donald	Clifton Park	NY	US	
Keyes, Tim Kerry	West Redding	CT	US	
Steward, William Cree	Norwalk	CT	US	
Edgar, Marc Thomas	Glenmont	NY	US	

US-CL-CURRENT: 705/36; 705/38

Full	Title	Citation	Front	Review	Classification	Date	Reference	Sequences	Attachments	Claims	KWIC	Draw Desc	Image
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☐ 3. Document ID: US 5704045 A

L9: Entry 3 of 3

File: USPT

Dec 30, 1997

US-PAT-NO: 5704045  
DOCUMENT-IDENTIFIER: US 5704045 A

TITLE: System and method of risk transfer and risk diversification including means

to assure with assurance of timely payment and segregation of the interests of capital

DATE-ISSUED: December 30, 1997

## INVENTOR-INFORMATION:

NAME	CITY	STATE	ZIP CODE	COUNTRY
King; Douglas L.	Oklahoma City	OK	73123	
Barclay; Alasdair G.	Pembroke			BM
Wellman; Rockie C.	Oklahoma City	OK	73127	

US-CL-CURRENT: 705/35; 705/38

Full	Title	Citation	Front	Review	Classification	Date	Reference	Sequences	Attachments	Claims	KMC	Draw Desc	Image
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3

**Display Format:**

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**WEST****End of Result Set**☐ **Generate Collection** **Print**

L7: Entry 21 of 21

File: USPT

May 5, 1998

US-PAT-NO: 5749077

DOCUMENT-IDENTIFIER: US 5749077 A

TITLE: Method and apparatus for updating and selectively accessing financial records related to investments

DATE-ISSUED: May 5, 1998

## INVENTOR-INFORMATION:

NAME	CITY	STATE	ZIP CODE	COUNTRY
Campbell; David	Pittsburgh	PA		

## ASSIGNEE-INFORMATION:

NAME	CITY	STATE	ZIP CODE	COUNTRY	TYPE CODE
FS Holdings, Inc.	Wilmington	DE			02

APPL-NO: 08/ 787679 [PALM]

DATE FILED: January 23, 1997

## PARENT-CASE:

This is a division of application Ser. No. 08/345,881, filed Nov. 28, 1994.

INT-CL: [06] G06 F 15/21

US-CL-ISSUED: 705/36

US-CL-CURRENT: 705/36

FIELD-OF-SEARCH: 395/610, 395/615, 705/35, 705/36, 705/37

PRIOR-ART-DISCLOSED:

## U.S. PATENT DOCUMENTS

☐ **Search Selected**☐ **Search ALL**

	PAT-NO	ISSUE-DATE	PATENTEE-NAME	US-CL
<input type="checkbox"/>	<u>4774663</u>	September 1988	Musmanno et al.	705/36
<input type="checkbox"/>	<u>4994964</u>	February 1991	Wolfberg et al.	705/36
<input type="checkbox"/>	<u>5481700</u>	January 1996	Thuraisingham	705/36

## OTHER PUBLICATIONS

P. J. Gill, Schwab Bets the Bank on Information Systems, Information Week, p 7A, 10A Oct. 5, 1987.

M. W. Friis, Getting the Jump on Big New York Brokerage Firms, Infosystems, pp. 86, 88, May 1987.

ART-UNIT: 271

PRIMARY-EXAMINER: Hayes; Gail O.

ASSISTANT-EXAMINER: Oh; Junghoon Kenneth

## ABSTRACT:

A method and apparatus for inputting financial data, modifying, formatting and adding to pre-existing data on the basis of such input and, if desired, engaging in further processing of the data and accessing the data through a computer interface which may be directly accessed by unskilled and semi-skilled personnel. Such personnel may introduce a wide range of parameters for purposes of selecting specific desired data. The system is particularly advantageous in respect of maintaining records of investment transactions and providing ready access to the same. In the preferred approach, for selected categories of information, the user may elect one of three options as to each screen field to obtain rapid, customized information delivery. Also, the system preferably employs parallel processing and database performing tuning techniques. Hierarchical processing is employed in certain embodiments of the invention.

88 Claims, 22 Drawing figures

**WEST**

Generate Collection

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L6: Entry 32 of 34

File: USPT

Nov 21, 2000

US-PAT-NO: 6151588

DOCUMENT-IDENTIFIER: US 6151588 A

TITLE: Full service trade system

DATE-ISSUED: November 21, 2000

## INVENTOR-INFORMATION:

NAME	CITY	STATE	ZIP CODE	COUNTRY
Tozzoli; Guy Frederick	Westwood	NJ		
Lynch; Christopher James	Brooklyn	NY		

## ASSIGNEE-INFORMATION:

NAME	CITY	STATE	ZIP CODE	COUNTRY	TYPE CODE
Tradecard, Inc.		DE			02

APPL-NO: 09/ 020740 [PALM]

DATE FILED: February 9, 1998

## PARENT-CASE:

This application is a division of application Ser. No. 08/323,071, now U.S. Pat. No. 5,717,989, filed Oct. 13, 1994, which is incorporated herein by reference.

INT-CL: [07] G06 F 17/60

US-CL-ISSUED: 705/37; 705/35, 705/39

US-CL-CURRENT: 705/37; 705/35, 705/39

FIELD-OF-SEARCH: 705/35, 705/4, 705/1, 705/37, 705/26, 705/39, 705/40, 705/42

PRIOR-ART-DISCLOSED:

## U.S. PATENT DOCUMENTS

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	PAT-NO	ISSUE-DATE	PATENTEE-NAME	US-CL
<input type="checkbox"/>	<u>3573747</u>	April 1971	Adams	705/37
<input type="checkbox"/>	<u>4017101</u>	April 1977	Case	283/57
<input type="checkbox"/>	<u>4270042</u>	May 1981	Case	235/379
<input type="checkbox"/>	<u>4903201</u>	February 1990	Wagner	705/37
<input type="checkbox"/>	<u>4947028</u>	August 1990	Gorog	235/380
<input type="checkbox"/>	<u>5694551</u>	December 1997	Doyle et al.	705/26

ART-UNIT: 271

PRIMARY-EXAMINER: Voeltz; Emanuel Todd

ASSISTANT-EXAMINER: Morgan; George D.

**ABSTRACT:**

A system stores criteria specified by a funder relating to trade transactions for buyers and sellers. The system compares the criteria with a proposed purchase order to determine whether the system can generate a payment guarantee on behalf of the funder for the buyer to the seller. The system also compares subsequent documents relating to an original purchase order with the original purchase order to ensure that the terms of the purchase order are properly fulfilled. When the appropriate conditions for payment are met, the system issues a funds transfer instruction to transfer payment from the buyer to the seller.

8 Claims, 8 Drawing figures

**WEST****End of Result Set**☐

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L8: Entry 11 of 11

File: USPT

Dec 30, 1997

US-PAT-NO: 5704045

DOCUMENT-IDENTIFIER: US 5704045 A

TITLE: System and method of risk transfer and risk diversification including means to assure with assurance of timely payment and segregation of the interests of capital

DATE-ISSUED: December 30, 1997

## INVENTOR-INFORMATION:

NAME	CITY	STATE	ZIP CODE	COUNTRY
King; Douglas L.	Oklahoma City	OK	73123	
Barclay; Alasdair G.	Pembroke			BM
Wellman; Rockie C.	Oklahoma City	OK	73127	

APPL-NO: 08/ 370060 [PALM]

DATE FILED: January 9, 1995

INT-CL: [06] G06 F 17/00

US-CL-ISSUED: 395/235; 395/238

US-CL-CURRENT: 705/35; 705/38

FIELD-OF-SEARCH: 364/400, 364/401, 364/402, 364/408, 340/825.26, 340/825.07, 395/201, 395/235, 395/236, 395/237, 395/238, 395/239, 395/240, 395/242, 395/243, 395/244

PRIOR-ART-DISCLOSED:

U.S. PATENT DOCUMENTS

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<input type="checkbox"/>	<u>4232367</u>	November 1980	Youden et al.	
<input type="checkbox"/>	<u>4633397</u>	December 1986	Macco	
<input type="checkbox"/>	<u>4642767</u>	February 1987	Lerner	
<input type="checkbox"/>	<u>4648038</u>	March 1987	Roberts et al.	
<input type="checkbox"/>	<u>4706539</u>	November 1987	Bagheri	
<input type="checkbox"/>	<u>4742457</u>	May 1988	Leon et al.	
<input type="checkbox"/>	<u>4752877</u>	June 1988	Roberts et al.	
<input type="checkbox"/>	<u>4766539</u>	August 1988	Fox	
<input type="checkbox"/>	<u>4839804</u>	June 1989	Roberts et al.	
<input type="checkbox"/>	<u>4876648</u>	October 1989	Lloyd	
<input type="checkbox"/>	<u>4989141</u>	January 1991	Lyons et al.	
<input type="checkbox"/>	<u>5025138</u>	June 1991	Cuervo	
<input type="checkbox"/>	<u>5083270</u>	January 1992	Gross et al.	
<input type="checkbox"/>	<u>5101353</u>	March 1992	Lupien et al.	
<input type="checkbox"/>	<u>5136501</u>	August 1992	Silverman et al.	
<input type="checkbox"/>	<u>5136502</u>	August 1992	Van Remortel et al.	
<input type="checkbox"/>	<u>5148365</u>	September 1992	Dembo	
<input type="checkbox"/>	<u>5193056</u>	March 1993	Boes	
<input type="checkbox"/>	<u>5201398</u>	April 1993	Clugston	
<input type="checkbox"/>	<u>5202827</u>	April 1993	Sober	364/408
<input type="checkbox"/>	<u>5206803</u>	April 1993	Vitagliano et al.	
<input type="checkbox"/>	<u>5210687</u>	May 1993	Wolfberg et al.	
<input type="checkbox"/>	<u>5237500</u>	August 1993	Perg et al.	
<input type="checkbox"/>	<u>5262942</u>	November 1993	Earle	364/408
<input type="checkbox"/>	<u>5291398</u>	March 1994	Hagan	
<input type="checkbox"/>	<u>5297031</u>	March 1994	Guttermann et al.	364/408
<input type="checkbox"/>	<u>5375055</u>	December 1994	Tosher et al.	364/408
<input type="checkbox"/>	<u>5384260</u>	January 1995	Osborne et al.	

ART-UNIT: 244

PRIMARY-EXAMINER: Trammell; James P.

## ABSTRACT:

A system and method of accepting risk through contractual obligations transfers a portion of the risk to investors and includes means for absolute assurance of timely payment to contract holders, and segregation, of the interests of particular investors to specifically identified risks in a risk to capital matching system. The system creates separate ledgers and segregated reserves to tailor particular products for specific needs including transferring difficult to place risks. The system creates agreements which promise payments, based on loss from risks including investment risks. Data processing provides legally segregated relationship management links, supervising and balancing the interests of professionals in a risk transfer and diversification system.

74 Claims, 6 Drawing figures

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L6: Entry 30 of 34

File: USPT

Jul 16, 2002

US-PAT-NO: 6421653

DOCUMENT-IDENTIFIER: US 6421653 B1

TITLE: Systems, methods and computer program products for electronic trading of financial instruments

DATE-ISSUED: July 16, 2002

## INVENTOR-INFORMATION:

NAME	CITY	STATE	ZIP CODE	COUNTRY
May; R. Raymond	Mathews	NC		

## ASSIGNEE-INFORMATION:

NAME	CITY	STATE	ZIP CODE	COUNTRY	TYPE CODE
Blackbird Holdings, Inc.	Charlotte	NC			02

APPL-NO: 09/ 169906 [PALM]

DATE FILED: October 12, 1998

## PARENT-CASE:

CROSS-REFERENCE TO RELATED APPLICATION This application claims benefit of co-pending U.S. Provisional Application No. 60/062,410, entitled "Systems and Methods for Electronic Trading of Financial Contracts," and filed Oct. 14, 1997. In addition, the present application is related to the following co-pending, commonly assigned U.S. applications, each of which is incorporated by reference as if set forth in full: "Systems, Methods And Computer Program Products For Subject-Based Addressing In An Electronic Trading System," filed Oct. 12, 1998, and accorded application Ser. No.: 09-169,767; "Systems, Methods And Computer Program Products For Monitoring Credit Risks In Electronic Trading Systems," filed Oct. 12, 1998, and accorded application Ser. No.: 09/169,878; and "Switch Engine For Risk Position Discovery In An Electronic Trading System," filed Oct. 12, 1998, and accorded application Ser. No.: 09/169,879.

INT-CL: [07] G06 F 17/60

US-CL-ISSUED: 705/37; 705/36

US-CL-CURRENT: 705/37; 705/36

FIELD-OF-SEARCH: 705/35, 705/36, 705/37, 705/38, 705/39

PRIOR-ART-DISCLOSED:

U.S. PATENT DOCUMENTS

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<input type="checkbox"/>	<u>3581072</u>	May 1971	Nymeyer	
<input type="checkbox"/>	<u>4674044</u>	June 1987	Kaimus et al.	
<input type="checkbox"/>	<u>4677552</u>	June 1987	Sibley, Jr.	
<input type="checkbox"/>	<u>4903201</u>	February 1990	Wagner	
<input type="checkbox"/>	<u>4953085</u>	August 1990	Atkins	
<input type="checkbox"/>	<u>4980826</u>	December 1990	Wagner	
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<input type="checkbox"/>	<u>5077665</u>	December 1991	Silvermann et al.	
<input type="checkbox"/>	<u>5101353</u>	March 1992	Lupien et al.	
<input type="checkbox"/>	<u>5126936</u>	June 1992	Champion et al.	
<input type="checkbox"/>	<u>5136501</u>	August 1992	Silverman et al.	
<input type="checkbox"/>	<u>5168446</u>	December 1992	Wiseman	
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<input type="checkbox"/>	<u>5258908</u>	November 1993	Hartheimer et al.	
<input type="checkbox"/>	<u>5270922</u>	December 1993	Higgins	705/37
<input type="checkbox"/>	<u>5285383</u>	February 1994	Lindsey et al.	
<input type="checkbox"/>	<u>5297031</u>	March 1994	Guttermann et al.	
<input type="checkbox"/>	<u>5375055</u>	December 1994	Togher et al.	
<input type="checkbox"/>	<u>5396552</u>	March 1995	Jahn et al.	
<input type="checkbox"/>	<u>5446885</u>	August 1995	Moore et al.	
<input type="checkbox"/>	<u>5517406</u>	May 1996	Harris et al.	
<input type="checkbox"/>	<u>5557517</u>	September 1996	Daugherty, III	
<input type="checkbox"/>	<u>5594639</u>	January 1997	Atsumi	
<input type="checkbox"/>	<u>5630127</u>	May 1997	Moore et al.	
<input type="checkbox"/>	<u>5802499</u>	September 1998	Sampson et al.	705/35
<input type="checkbox"/>	<u>5819237</u>	October 1998	Garman	
<input type="checkbox"/>	<u>5845266</u>	December 1998	Lupien et al.	705/37
<input type="checkbox"/>	<u>5873071</u>	February 1999	Ferstenberg et al.	705/37
<input type="checkbox"/>	<u>5905974</u>	May 1999	Fraser et al.	
<input type="checkbox"/>	<u>5915209</u>	June 1999	Lawrence	155/31.2
<input type="checkbox"/>	<u>5924082</u>	July 1999	Silverman et al.	
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<input type="checkbox"/>	<u>5940810</u>	August 1999	Traub et al.	
<input type="checkbox"/>	<u>5950176</u>	September 1999	Keiser et al.	
<input type="checkbox"/>	<u>5970479</u>	October 1999	Shepherd	705/37
<input type="checkbox"/>	<u>6012046</u>	January 2000	Lupien et al.	705/37
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<input type="checkbox"/>	<u>6014643</u>	January 2000	Minton	
<input type="checkbox"/>	<u>6098051</u>	August 2000	Lupien et al.	705/37
<input type="checkbox"/>	<u>6134600</u>	October 2000	Liu	

FOREIGN PATENT DOCUMENTS

FOREIGN-PAT-NO	PUBN-DATE	COUNTRY	US-CL
0 399 850	November 1990	EP	
0 407 026	January 1991	EP	
0 411 748	February 1991	EP	
WO 95 06918	March 1995	WO	
WO 96 05563	February 1996	WO	
WO 96 34357	October 1996	WO	
WO 97 03409	January 1997	WO	

## OTHER PUBLICATIONS

Ludwig; "Supervision by risk" Journal of Commercial Lending, v78, p52-60., Nov. 1995; Dialog file 268, Accession No. 00274059.\*  
"Derivatives tool merger. . . C.ATS Software Inc.; LOR/Geske Bock Associates Inc" Software Industry Report, v28, n4, p4(1), Dialog file 148, Accession No. 08536443; Feb. 19, 1996.\*  
Maguire"Details on Derivatives: AIG Breaks Down Exposure by Industry"; Insurance Accountant; Jun. 13, 1994; p. 1; vol. 4, No. 23.\*  
Jerome Yen, Ho Geun, Lee and Tung BUI; Intelligent Clearinghouse:Elrctronic Marketplace with Computer-Mediated Negotiation Supports;Proceedings of the Twenty-Ninth Hawaii International Conference on System Sciences, Proceedings of HICSS-29; 29.sup.th Hawaii International conference on System Sciences, Wailea, HI, US, Jan. 3-6, 1996; pp. 219-2217, vol.3; XP002097382 ISBN 0-8186-7330-3, 1996; Los Alamitos, California, IEEE Computer Soc. Press.

ART-UNIT: 2765

PRIMARY-EXAMINER: Hafiz; Tariq R.

ASSISTANT-EXAMINER: Jeanty; Romain

## ABSTRACT:

An internet-protocol based anonymous trading system which enables traders to identify bids and offers which they are eligible to trade based upon a color coded methodology which gives the trader credit preference information about the potential counterparty while still maintaining the anonymity of the potential counterparty. To that end, each bid or offer is prescreened against all possible counterparties' credit information in the system and each counterparty sees a unique color coded trading interface based upon their particular credit preference combinations and the others in the system. The system then shows all prices in the system, and the color-coding tells the trader which prices he is able to trade, and also shows him the full depth of the market, including those the trader is unable to trade.

47 Claims, 40 Drawing figures

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L7: Entry 20 of 21

File: USPT

Jan 4, 2000

US-PAT-NO: 6012043

DOCUMENT-IDENTIFIER: US 6012043 A

TITLE: Computerized system and method used in financial planning

DATE-ISSUED: January 4, 2000

## INVENTOR-INFORMATION:

NAME	CITY	STATE	ZIP CODE	COUNTRY
Albright; William R.	Granville	OH		
Weller; Timothy W.	Urbana	OH		
Easley; Matthew S.	Westerville	OH		
Szolos; Karen E.	Hilliard	OH		
Wunderlich; Philip S.	Upper Arlington	OH		

## ASSIGNEE-INFORMATION:

NAME	CITY	STATE	ZIP CODE	COUNTRY	TYPE CODE
Nationwide Mutual Insurance Co.	Columbus	OH			02

APPL-NO: 08/ 709914 [PALM]

DATE FILED: September 9, 1996

INT-CL: [06] G06 F 17/60

US-CL-ISSUED: 705/36; 705/35, 706/45

US-CL-CURRENT: 705/36; 705/35, 706/45

FIELD-OF-SEARCH: 705/30, 705/35, 705/36, 395/1, 395/10, 395/20, 395/21, 395/50, 395/54, 395/75, 395/77, 706/45, 706/46, 706/47

PRIOR-ART-DISCLOSED:

U.S. PATENT DOCUMENTS

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	PAT-NO	ISSUE-DATE	PATENTEE-NAME	US-CL
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<input type="checkbox"/>	<u>4642768</u>	February 1987	Roberts	
<input type="checkbox"/>	<u>4648037</u>	March 1987	Valentino	
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<input type="checkbox"/>	<u>5479344</u>	December 1995	Keziah, Jr.	
<input type="checkbox"/>	<u>5493490</u>	February 1996	Johnson	
<input type="checkbox"/>	<u>5517406</u>	May 1996	Harris et al.	
<input type="checkbox"/>	<u>5644727</u>	July 1997	Atkins	705/36
<input type="checkbox"/>	<u>5727161</u>	March 1998	Purcell, Jr.	705/7

## OTHER PUBLICATIONS

"Fidelity Retirement Planning Thinkware" (no date).  
"Intuit Helps You with Future Finances, But Overlooks Debt," The Wall Street Journal, Jun. 20, 1996.  
"Personal Planning," Northwestern Mutual Life Rev. 3/94, Oct. 1993.  
"Financial Profiles, Inc. on the Internet," The Financial Profiles, Inc. Newsletter, Winter 1996.  
"Rich and Retired," Datatech Software (No date).  
"Retirement Expert," Sterling Wentworth Corporation (no date).  
"Aetna's Retirement Income Pathfinder" (no date).  
"Quicken Financial Planner" (no date).  
Next\$ Manual, Sterling Wentworth Corp., 57 West 200 South, Suite 510, Salt Lake City, Utah 84101, 1992.

ART-UNIT: 271

PRIMARY-EXAMINER: Cosimano; Edward R.

## ABSTRACT:

A computer implemented tool used primarily in [retirement planning] financial planning which produces estimated values of needed savings levels and further income based on certain economic assumptions and data regarding an individual subject's current financial status. [Although intended for use in retirement planning, the tool may also be used in other forms of financial planning.] The tool uses decision logic. User preferences are taken into account. Output is presented in a unique graphical format that can be easily understood by customers.

50 Claims, 5 Drawing figures